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UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gerald P. Sullivan

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Examiner: James Zurita

Title: **APPARATUS AND METHOD FOR CREATING AND MANAGING A FINANCIAL INSTRUMENT**

Commissioner for Patents
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Alexandria, VA 22313-1450

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GROUP 3600

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AMENDMENT

In response to the Office Action dated October 8, 2002, the time for responding thereto having been requested to be extended, please amend the above-identified application as follows:

In the Claims:

Please amend the following claims:

B1 28. (Twice Amended) The method of claim 10, wherein said step of allocating said industry allocation allocates among all of said securities of said one industry group.

32. (Amended) The method of claim 30, wherein there is included the step of determining the amount of the industry allocation for a selected one industry group as dependent on the amount of said investment.

B2 33. (Amended) The method of claim 30, wherein there is included the step of determining the amount of the industry allocation for a selected one industry group as dependent on the amount of said industry total.